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Docket No. 251943US2

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

IN RE APPLICATION OF: Atsushi SAKAI, et al.

SERIAL NO: 10/825,373

GAU: 2875

FILED: April 16, 2004

EXAMINER:

FOR: LIGHT CONTROL ELEMENT AND LIGHT CONTROL DEVICE

**INFORMATION DISCLOSURE STATEMENT UNDER 37 CFR 1.97**

COMMISSIONER FOR PATENTS  
ALEXANDRIA, VIRGINIA 22313

SIR:

Applicant(s) wish to disclose the following information.

**REFERENCES**

- ☐ The applicant(s) wish to make of record the references listed on the attached form PTO-1449. Copies of the listed references are attached, where required, as are either statements of relevancy or any readily available English translations of pertinent portions of any non-English language references.
- ☐ A check or credit card payment form is attached in the amount required under 37 CFR §1.17(p).

**RELATED CASES**

- ☒ Attached is a list of applicant's pending application(s) or issued patent(s) which may be related to the present application. A copy of the claims and drawings of the pending application(s) is attached along with PTO 1449.
- ☐ A check or credit card payment form is attached in the amount required under 37 CFR §1.17(p).

**CERTIFICATION**

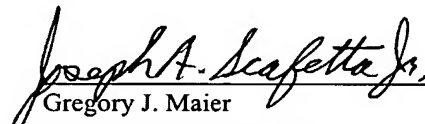
- ☐ Each item of information contained in this information disclosure statement was first cited in any communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of this statement.
- ☐ No item of information contained in this information disclosure statement was cited in a communication from a foreign patent office in a counterpart foreign application or, to the knowledge of the undersigned, having made reasonable inquiry, was known to any individual designated in 37 CFR §1.56(c) more than three months prior to the filing of this statement.

**DEPOSIT ACCOUNT**

- ☒ Please charge any additional fees for the papers being filed herewith and for which no check or credit card payment is enclosed herewith, or credit any overpayment to deposit account number 15-0030. A duplicate copy of this sheet is enclosed.

Respectfully submitted,

OBLON, SPIVAK, McCLELLAND,  
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(OSMMN 05/03)

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**LIST OF RELATED CASES**

<u>Docket Number</u>	<u>Serial or Patent Number</u>	<u>Filing or Issue Date</u>	<u>Inventor/ Applicant</u>
PER CLIENT	10/241,796	09/12/02	SUGIMOTO et al.
PER CLIENT	6,514,328	02/04/03	KATOH et al.
0557-2540-3 <sup>#</sup>	07/687,551	04/19/91	UNKNOWN
0557-3318-0	5,719,981	02/17/98	KATOH et al.
0557-4124-0 <sup>#</sup>	08/882,288	06/25/97	UNKNOWN
234369US2	10/370,737	02/24/03	MIYAGAKI et al.
251943US2*	10/825,373	04/16/04	SAKAI et al.

\*Present Application; listed for information

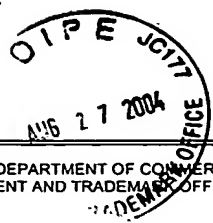
<sup>#</sup> Abandoned Application

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Form PTO 1449 (Modified)		U.S. DEPARTMENT OF COMMERCE PATENT AND TRADEMARK OFFICE		ATTY DOCKET NO. <b>251943US2</b>		SERIAL NO. <b>10/825,373</b>	
LIST OF REFERENCES CITED BY APPLICANT				APPLICANT <b>Atsushi SAKAI, et al.</b>			
				FILING DATE <b>April 16, 2004</b>		GROUP <b>2875</b>	
<b>U.S. PATENT DOCUMENTS</b>							
EXAMINER INITIAL		DOCUMENT NUMBER	DATE	NAME	CLASS	SUB CLASS	FILING DATE IF APPROPRIATE
	AA	US 2003/0098945 A1	05/29/03	SUGIMOTO et al.			
	AB	6,514,328	02/04/03	KATOH et al.			
	AC	5,719,981	02/17/98	KATOH et al.			
	AD						
	AE						
	AF						
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	AH						
	AI						
	AJ						
	AK						
	AL						
	AM						
	AN						
<b>FOREIGN PATENT DOCUMENTS</b>							
		DOCUMENT NUMBER	DATE	COUNTRY	TRANSLATION YES                  NO		
	AO						
	AP						
	AQ						
	AR						
	AS						
	AT						
	AU						
	AV						
<b>OTHER REFERENCES (Including Author, Title, Date, Pertinent Pages, etc.)</b>							
	AW						
	AX						
	AY						
	AZ					<input type="checkbox"/> Additional References sheet(s) attached	
Examiner					Date Considered		

\*Examiner: Initial if reference is considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.



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OBLON, SPIVAK, McCLELLAND,  
MAIER & NEUSTADT, P.C.

  
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**STATEMENT OF RELEVANCY**

**Reference AO (JP 2002-303836) on Form PTO-1449:**

This reference describes a conventional optical switch with photonic crystal structure.

**Reference AP (JP 2002-122798) on Form PTO-1449:**

This reference describes a conventional moving element position changeover detection device, optical switch and method of manufacturing moving element housing structure.

**Reference AQ (JP 2002-221680) on Form PTO-1449:**

This reference describes a conventional thermo-optical switching element and light beam switching method.

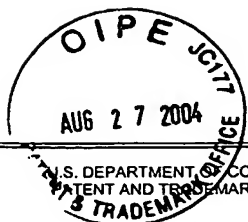
**Reference AW on Form PTO-1449:**

This reference describes superprism phenomena in photonic crystals.

**Reference AX on Form PTO-1449:**

This reference describes high-density integrated optics.



Form PTO 1449  
(Modified)U.S. DEPARTMENT OF COMMERCE  
PATENT AND TRADEMARK OFFICE

ATTY DOCKET NO.

251943US2

SERIAL NO.

10/825,373

## LIST OF REFERENCES CITED BY APPLICANT

APPLICANT

Atsushi SAKAI, et al.

FILING DATE

April 16, 2004

GROUP

## U.S. PATENT DOCUMENTS

EXAMINER INITIAL		DOCUMENT NUMBER	DATE	NAME	CLASS	SUB CLASS	FILING DATE IF APPROPRIATE
	AA						
	AB						
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	AE						
	AF						
	AG						
	AH						
	AI						
	AJ						
	AK						
	AL						
	AM						
	AN						

## FOREIGN PATENT DOCUMENTS

		DOCUMENT NUMBER	DATE	COUNTRY	TRANSLATION	
					YES	NO
	AO	2002-303836	10/18/2002	JAPAN (with English Abstract)		X
	AP	2002-122798	04/26/2002	JAPAN (with English Abstract)		X
	AQ	2002-221680	08/09/2002	JAPAN (with English Abstract, corr. USSN 09/755,676)		X
	AR					
	AS					
	AT					
	AU					
	AV					

## OTHER REFERENCES (Including Author, Title, Date, Pertinent Pages, etc.)

	AW	H. KOSAKA, et al., Physical Review B, vol. 58, no. 16, pages R10 096 - R10 099, "SUPERPRISM PHENOMENA IN PHOTONIC CRYSTALS", October 15, 1998
	AX	C. MANOLATOU, et al., Journal of Lightwave Technology, vol. 17, no. 9, pages 1682-1692, "HIGH-DENSITY INTEGRATED OPTICS", September 1999
	AY	
	AZ	

☐ Additional References sheet(s) attached

Examiner

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